



PATENT
HRL065

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Guifrida et al.

Serial No.: 09/835,064

Group Art Unit: 2175

Filed: 4/13/2001

Examiner: Abel-Jall

For: Method and Apparatus for Automatically Extracting Metadata from Electronic Documents Using Spatial Rules

Hon. Assistant Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

Applicant petitions for acceptance of the declarations for this application without the signature of Eddie Shek, whose most recent known address is entered into the declaration form. Mr. Shek was contacted numerous times over the past several months regarding signing the declaration for this application as well as the assignment. The papers were both faxed and mailed to him via postal mail. When contacted on or about September 20, 2001, Mr. Shek expressed concern for signing the documents. Subsequent attempts to contact Mr. Shek have met with no response, the most recent of such attempts being on October 3, 4, and 5. Contact attempts have also been attempted via e-mail with no greater success.

Therefore, because of Mr. Shek's apparent unavailability for signing the documents, the remaining Applicants petition for acceptance of the declarations for this application.

In the event the Reviewer wishes to discuss any aspect of this response, please contact the undersigned at the telephone number indicated below.

Respectfully submitted,

Cary Tope-McKay
Registration No. 41,350

Tope-McKay & Associates
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PTO/SB/93 (10-96)
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Cary Tope-McKay

Typed or printed name of person mailing correspondence

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/835,064
	Filing Date	04/13/2001
	First Named Inventor	Giuffrida
	Group Art Unit	2475
	Examiner Name	Abel-Jalil, Nerveen
Total Number of Pages in This Submission	Attorney Docket Number	HRL065

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Petition for unavailable inventor
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Cary Tape-McKay
Signature	
Date	9/14/01

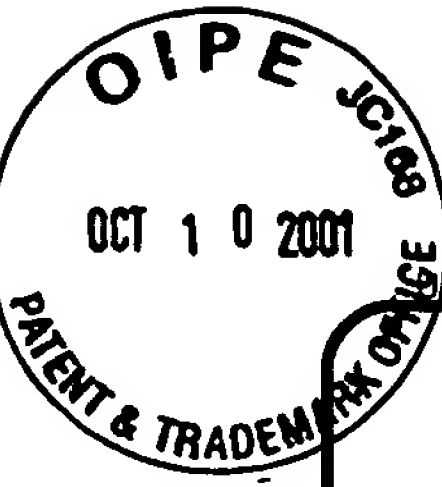
CERTIFICATE OF MAILING			
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Typed or printed name			
Signature		Date	

⊕ Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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10-1201

03CO



PTO/SB/17 (11-00)

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,400.00

Complete if Known

Application Number	09/835,064
Filing Date	04/13/2001
First Named Inventor	Giuffrida
Examiner Name	Abel-Jall, Neveen
Group Art Unit	2175
Attorney Docket No.	HRL065

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE				
	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	710	201 355	Utility filing fee	740
106	320	206 160	Design filing fee	
107	490	207 245	Plant filing fee	
108	710	208 355	Reissue filing fee	
114	150	214 75	Provisional filing fee	
SUBTOTAL (1)				(\$ 740.00

2. EXTRA CLAIM FEES

Total Claims -20** = X =

Independent Claims - 3** = X =

Multiple Dependent =

Large Entity Small Entity				
	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103	18	203 9	Claims in excess of 20	
102	80	202 40	Independent claims in excess of 3	
104	270	204 135	Multiple dependent claim, if not paid	
109	80	209 40	** Reissue independent claims over original patent	
110	18	210 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES				
	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65	Surcharge - late filing fee or oath	130.00
127	50	227 25	Surcharge - late provisional filing fee or cover sheet	
139	130	139 130	Non-English specification	
147	2,520	147 2,520	For filing a request for ex parte reexamination	
112	920*	112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action	400.00
115	110	215 55	Extension for reply within first month	
116	390	216 195	Extension for reply within second month	
117	890	217 445	Extension for reply within third month	
118	1,390	218 695	Extension for reply within fourth month	
128	1,890	228 945	Extension for reply within fifth month	
119	310	219 155	Notice of Appeal	
120	310	220 155	Filing a brief in support of an appeal	
121	270	221 135	Request for oral hearing	
138	1,510	138 1,510	Petition to institute a public use proceeding	
140	110	240 55	Petition to revive - unavoidable	
141	1,240	241 620	Petition to revive - unintentional	
142	1,240	242 620	Utility issue fee (or reissue)	
143	440	243 220	Design issue fee	
144	600	244 300	Plant issue fee	130.00
122	130	122 130	Petitions to the Commissioner	
123	50	123 50	Processing fee under 37 CFR 1.17(q)	
126	180	126 180	Submission of Information Disclosure Stmt	
581	40	581 40	Recording each patent assignment per property (times number of properties)	
146	710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279 355	Request for Continued Examination (RCE)	
169	900	169 900	Request for expedited examination of a design application	
Other fee (specify) _____				
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$ 660.00

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Cary Tope-McKay	Registration No. (Attorney/Agent)	41,350
Signature		Telephone	(310) 291-0390
		Date	9/14/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

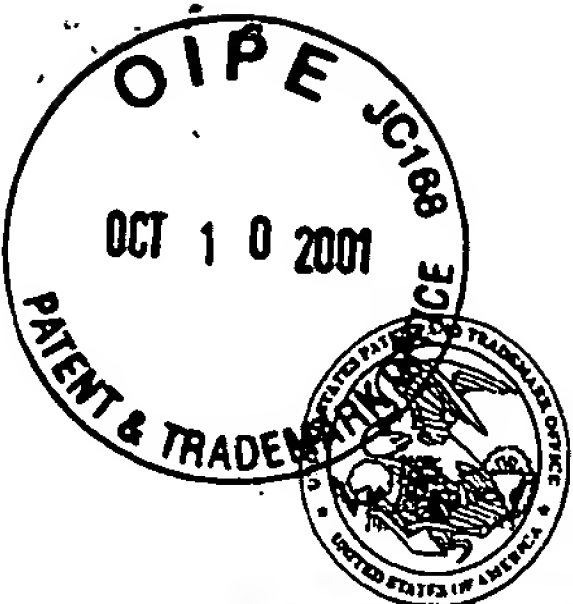
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02/08/2002 SSANDARA 00000006 09835064

400.00 DP

04 FC:116

02/08/2002 SSANDARA 00000006 09835064 130.00 DP 03 FC:122



UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/835,064	04/13/2001	Giufreda	HRL065

CONFIRMATION NO. 3890

FORMALITIES LETTER



OC000000006161913

Tope-McKay & Associates
23852 Pacific Coast Highway #311
Malibu, CA 90265

Date Mailed: 06/08/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

02/08/2002 SSAN:ARH The balance due by applicant is \$ 840.

01 FC:101	740.00 OP
02 FC:105	130.00 OP

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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